



Developing Federal Permits in the U.S. Caribbean Exclusive Economic Zone

White Paper

July 2014





Table of Contents

Introduction	1
What Issue is Being Addressed?	1
Where is the project located?	2
Why is the Council considering action?	2
Status of Fishing Permits in the U.S. Caribbean, and Options for Implementation in Federal Waters	4
References	11
Appendix A: SERO Permit Application	13

DRAFT

Introduction

What Issue is Being Addressed?

This white paper provides the Caribbean Fishery Management Council (Council) with an overview of the many aspects involved in the development of commercial permits for fishing in the U.S. Caribbean exclusive economic zone (EEZ). A primary goal of establishing federal permits is to gain a better understanding of the population of fishers and their harvest patterns in the EEZ. Increased knowledge of fishing effort¹ and harvest data² could improve fisheries management in the U.S. Caribbean by reducing scientific and management uncertainty and better identifying spatial patterns of capture and harvest. A federal permit system could also enhance the ability to obtain landings data³ from fishers through increased reporting compliance, while targeting active fishers for educational and/or research activities. Improved data collection may also enable the application of in-season accountability measures, thus preventing annual catch limit overages and possibly overfishing.



Caribbean Fishery Management Council

- Responsible for conservation and management of fish stocks
- Consists of seven voting members
 - Four voting members appointed by the Secretary of Commerce
 - One voting member appointed by each of the Governors of Puerto Rico and the U.S. Virgin Islands (2 total)
 - The Regional Administrator of NMFS for the Southeast Region
- Manages the area is from 3 to 200 nautical miles (nm) off the coasts of the U.S. Virgin Islands and 9 to 200 nm off the coast of Puerto Rico
- Develops fishery management plans and recommends regulations to NMFS and the Secretary of Commerce for implementation

¹ The amount of fishing gear of a specific type used on the fishing grounds over a given unit of time (e.g. hours trawled per day, number of hooks set per day, or number of hauls of a beach seine per day). When two or more kinds of gear are used, the respective efforts must be adjusted to some standard type before being added.

² Data on the total number or weight of fish caught and kept from an area over a period of time.

³ Data on the number or poundage of fish unloaded by commercial fishers or brought to shore by recreational fishers for personal use.

Where is the project located?

The U.S. Caribbean EEZ consists of those waters extending from the nine nautical mile (nm) seaward boundary of the Commonwealth of Puerto Rico and the three nm seaward boundary of the territory of the U.S. Virgin Islands (USVI) out to 200 nautical miles offshore

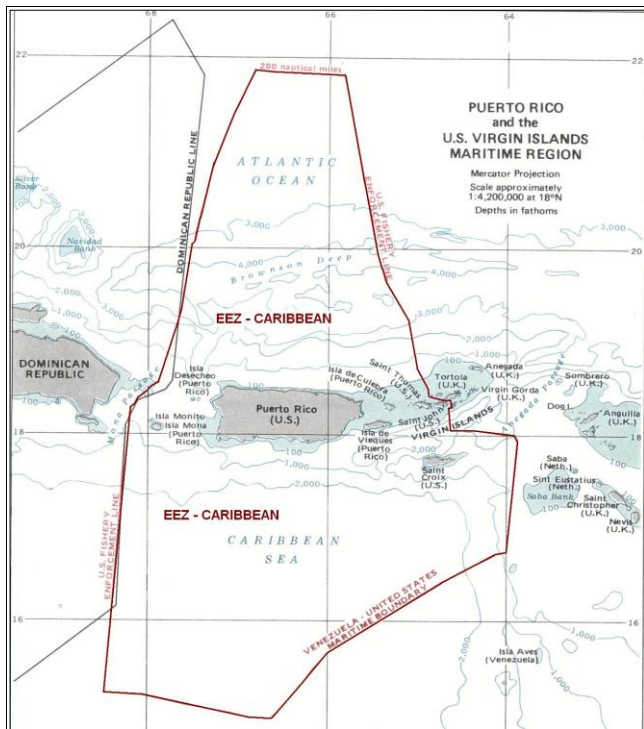


Figure 1.2.1. Jurisdictional boundaries of the Caribbean Fishery Management Council.

Why is the Council considering action?

The harvest activities of all fishing sectors must be understood to the greatest degree possible to assure that societal goals encompassed in the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) are met. Thus, the need for timely, effective, and efficient means to monitor harvest from all sectors is fundamental. A permitting system provides a comprehensive method to achieve this goal. Permits also allow for direct communication with fishing entities, enabling focused outreach and education opportunities.

Permits allow fishery managers to gather more accurate data, decreasing both scientific and management uncertainty. Scientific uncertainty can be mitigated to some degree by increasing knowledge of the fishery. A permit system that identifies the universe of harvesters and allows tracking of the disposition of harvested resources would substantially enhance knowledge of the fishery. Data derived from a comprehensive permit system would also contribute to reducing management uncertainty by providing better estimates of harvesting effort and thereby improving model design and outputs. More accurate and reliable catch data allow for more informed management decisions and provides managers with a better understanding of the health of the fish stocks.



An absence of a federal permit system, or mandatory federal reporting requirements, has been identified as a major contributor to the lack of fishing effort information in the EEZ. A permitting system would allow better estimates for measuring fishing effort for the Council-managed fisheries while shedding light on the effectiveness of regulations implemented to manage that effort.

Needs/Issues that a permitting system could address in the EEZ

- Increased competition for the resources
- Increased fishing effort and the concentration of that effort in localized areas
- Declining catch per unit effort
- Better estimates of fishing effort
- Monitor possible increases in bycatch

DRAFT



Status of Fishing Permits in the U.S. Caribbean, and Options for Implementation in Federal Waters

Puerto Rico

The government of Puerto Rico requires commercial fishing licenses for fishing in Commonwealth waters and additional species-specific commercial permits for incidental catch, land crab, and sirajo gobies. This permit system could provide a foundation upon which a federal permit system could be built, although other permit system options should also be considered and evaluated.

In 2011 and 2012, the number of commercial fishers in Puerto Rico more than doubled (3,408) from the 1,129 valid commercial licenses originally reported in the latest commercial fishers census by Matos Caraballo-Agar in 2008 (E. Piñeiro pers. comm.). Historically, commercial fishers in Puerto Rico were required by the Puerto Rico Department of Natural and Environmental Resources (PRDNER), the agency responsible for the administration of the commonwealth fishing licenses, to show their tax return forms when applying for their commercial license. The PRDNER would use the tax forms to determine what amount of each fisher's income came from commercial fishing. In 2011, the PRDNER put in place a moratorium eliminating the tax return requirement when applying for a commercial license. The moratorium may have triggered fishers in the recreational sector to move to the commercial sector by applying for the Puerto Rico "commercial beginner's license." Some recreational fishers see the benefit of obtaining a commercial license as it allows them to use additional fishing gears (e.g., bandit gear) and sell their catches, both of which are prohibited practices under a recreational license. The PRDNER has re-established the tax form requirement when applying for a commercial license. This requirement should remove from the commercial sector those fishers that don't depend on fishing as their major source of income.

USVI

Since 1974, the USVI has required all commercial fishers to have a commercial fishing permit. Helpers⁴ are not required to have a commercial fishing permit, although each commercial fisher must obtain a helper's permit for each helper used or employed (V.I.C., Title 12, Chapter 9A §312). In August 2001, the Commissioner of the USVI Department of Planning and Natural Resources issued a moratorium on the issuance of commercial fishing licenses. Those individuals that were licensed up to 3 years before August 2001 were allowed to renew their commercial fishing licenses (Holt and Uwate 2004), but no new entrants into the commercial fishery have been allowed since implementation of the moratorium. Based on the USVI's Department of Fish and Wildlife 2010-2011 registration list (Kojis and Quinn 2011), in 2008, there were 383 licensed commercial fishers in the USVI, including 223 on St. Croix and 160 on St.

⁴ The permitted commercial fisher must be onboard when the "helper" is fishing. Commercial fishers must have the number of helpers indicated on their permit. Although legally defined as helpers, these individuals are also fishers.



Thomas/St. John. By 2011 the number of licensed commercial fishers in the USVI had decreased to 334 including 214 on St. Croix and 120 on St. Thomas/St. John (Kojis and Quinn 2011). As long as the moratorium on granting new commercial fishing licenses in the USVI remains in place, it is anticipated those numbers will continue to decrease through attrition.

Federal Waters

There are many aspects to implementing commercial fishing permits in the U.S. Caribbean and many options regarding the design of that permit system. Options for developing and designing a permit system include, but are not limited to:

1. Require commercial vessel operators to obtain a federal permit to fish in the U.S. Caribbean EEZ;
2. Require commercial vessel operators to obtain a fishing license from either Puerto Rico or the USVI to fish in the U.S. Caribbean EEZ;
3. Require commercial vessel operators to obtain federal permit **OR** a fishing license from either Puerto Rico or the USVI to fish in the U.S. Caribbean EEZ
4. Require a species/species group/fishery specific permit in the U.S. Caribbean EEZ;
5. Require a gear-specific permit in the U.S. Caribbean EEZ;
6. Require a dealer permit to purchase fish harvested from the U.S. Caribbean EEZ;
7. Conduct a pilot study with some or all fishers from some or all island groups to evaluate the practicality of permits in the U.S. Caribbean EEZ.

The development and design of a permit system can be island-specific. Thus, a permit system could be implemented for a single island (St. Croix, Puerto Rico) or island group (St. Thomas/St. John). Additionally, regardless of the combination of island/island group for which permits are implemented, the permit may be a general requirement or may be specific to a particular fishery sector such as traps or deep-water snapper. Moreover, those specifics may differ among island/island group with, for example, a deep-water snapper permit being instituted only for one island and a trap permit only being instituted for a separate island. Fishery management in the U.S. Caribbean EEZ is moving from a species-based approach (Queen Conch, Reef Fish, Lobster, and Corals and Reef Associated Plants and Invertebrates Fishery Management Plans [FMPs]) to an island-based approach (St. Croix, Puerto Rico, and St. Thomas/St. John FMPs), a format conducive to application of permit systems tailored to the needs of each of those islands/island groups.

There are no federal licenses or permits issued for the commercial harvest of Council-managed species from the U.S. Caribbean EEZ. A commercial permit would allow managers to track the number and identity of commercial fishers active in the U.S. Caribbean EEZ, obtain better landings and effort data, improve law enforcement capabilities, and allow for directed outreach to and education of those licensed fishers. In total, licensing commercial fishers would ultimately lead to more accurate data, thereby reducing uncertainty, enhancing the precision for monitoring allowable catch levels, and increasing the suitability and effectiveness of fishing regulations. A permitting system will also enhance capabilities for the social analysis of potential management measures by making available better data regarding the



importance and contribution of commercial fishing to fishers and the fishing communities within which they reside.

Due to the current lack of a mandatory permit and reporting system in the EEZ, establishing a new federal permit system could result in confusion among fishing communities. Furthermore, there may be resistance to additional permitting requirements, especially considering that some fishers harvest extensively or exclusively from state waters. Moreover, the existence of mandatory state permitting requirements and associated expenses likely will create additional concerns among the fishers.

Impacts of and resistance to a permit requirement for federal waters may be reduced if that permit system relies on current territorial permitting efforts as opposed to establishing a new, independent federal permitting system. Any such federal permit requirement would require that the territorial permits be structured in such a way that they were consistent with the various provisions of the Magnuson-Stevens Act. In particular, the fees charged for the territorial permits could not exceed the administrative costs of issuing the permits, and the permits would need to be available to anyone in the US at the same cost and based on the same eligibility requirements.

Another possible option would be to recognize the territorial permits as valid permits to fish in the U.S. Caribbean EEZ. However, this would require the establishment of a concurrent federal permit that is available to anyone who does not have, or qualify for, a territorial permit. Aside from the administrative impacts that would be avoided, both the economic impacts that would result from fishers being required to purchase two separate permits to fish in the EEZ off Puerto Rico or the USVI, and the social impacts resulting from the time and effort required to fill out separate permit applications (Appendix A), would be avoided by working with the currently-established territorial systems.

Fees

It would be necessary to charge a fee to the fishers associated with obtaining federal permits in order to recover costs associated with maintaining a permit system. NOAA's National Marine Fisheries Service (NMFS) is authorized to charge administrative fees for permit issuance, renewal, or transfer. The direct cost of obtaining a federal permit under the current Southeast Regional Office (SERO) permitting process is estimated at \$25 per permit (Sramek, pers. comm.).

Application Process

The current SERO application (Appendix A) is relatively detailed and currently requires the submission of vessel characteristic data (e.g., horsepower, gross tonnage, net tonnage, hull identification number, hold capacity, corporation shareholder information, lease information). Completion of the current SERO permit application form takes between 20 minutes and 60 minutes, depending on the complexity of the supporting documents. A simpler application form, requesting only vessel name or identification number, length, and vessel owner contact information, could reduce the burden on fishers.

Open vs. Closed Permits

There are two different types of permit options available to the Council. First, the Council could choose an *open access* permit system that does not restrict the number of permits available to fishers. With open access permits, fishers can apply for a permit at any time. Open access permits are in common use in U.S. waters, including the Gulf of Mexico, South Atlantic, and U.S. Caribbean (Table 2.1). Alternatively, the Council could implement a *limited access* permit where the number of operators and, potentially, their fishing effort is restricted by controlling the number of available permits. Once the original number of permits is allocated to fishers, new fishers can only obtain a permit for that sector by purchasing an existing permit from another fisher. A variety of limited access permits currently are issued in the Gulf of Mexico and South Atlantic (Table 2.2). Limited access permits frequently involve controls on the number and size of vessels, and conditions related to the transfer of fishing rights or the replacement of vessels. Regardless of the type of pilot program instituted, participation in the pilot study could be free to all interested fishers, thus creating no financial advantage (or disadvantage) to the participants relative to those who do not participate.

Table 2.1. Current Open Access Permits Available for Vessels Fishing in the EEZ of the Gulf of Mexico, South Atlantic, and the U.S. Caribbean

Open Access Commercial Permit
Atlantic Dolphin/Wahoo (ADW)
Spiny Lobster (LC)
Spiny Lobster Tailing
Spanish Mackerel
Rock Shrimp
South Atlantic Penaeid Shrimp
Gulf Royal Red Shrimp Endorsement
HMS Commercial Caribbean Small Boat Permit
Open Access Charter/Headboat Permits
Atlantic Charter/headboat for Dolphin/Wahoo
Atlantic Charter/headboat for Coastal Migratory Pelagics
South Atlantic Charter/Headboat for Snapper-Grouper

Table 2.2. Current Limited Access Permits Available for Vessels Fishing in the EEZ of the Gulf of Mexico, South Atlantic, and the U.S. Caribbean

Limited Access Commercial Permits
King Mackerel
Gillnet for King Mackerel
Gulf of Mexico Shrimp
Gulf of Mexico Commercial Reef Fish
Eastern Gulf of Mexico Reef Fish Bottom Long Line Endorsement
Rock Shrimp
South Atlantic Golden Crab
South Atlantic Unlimited Snapper-Grouper
South Atlantic 225 LB Trip Limit Snapper-Grouper
South Atlantic Sea Bass Pot Endorsement
South Atlantic Golden Tilefish Endorsement
Swordfish Directed
Swordfish Handgear
Swordfish Incidental
Shark Directed
Shark Incidental
Atlantic Tuna Longline
Limited Access Charter/Headboat Permits
Gulf Charter/Headboat Coastal Migratory Pelagics
Gulf Charter/Headboat for Reef Fish
Historical Captain Gulf Charter/Headboat for Coastal Migratory Pelagic Fish
Historical Captain Gulf Charter/Headboat for Reef Fish

Pilot Program Opportunities

Rather than moving directly into a comprehensive permit program for federal waters of the U.S. Caribbean, it may be advantageous to first institute one or a few pilot studies for specific fishery sectors. One or more pilot studies would allow fishery managers to identify issues and devise solutions that can then be applied to a comprehensive permit system that would be issued throughout the entire U.S. Caribbean. Information gathered from pilot studies would guide the Council in making determinations as to the type of permit system to implement and the extent of that system.

Recent events in Puerto Rico have raised awareness regarding an opportunity to establish a permits program for the commercial Snapper Unit 2 (SU2) fishery operating in Puerto Rico EEZ waters. In 2012, the annual catch limit (ACL) that was established for the Puerto Rico commercial SU2 fishery in the 2010 Caribbean ACL Amendment (CFMC 2011) was substantially exceeded based on the mandated comparison criterion (average of 2010-2011 commercial landings). The commercial ACL of 145,916 pounds (lbs) was exceeded by 132,063 lbs (90.5%) based on average SU2 landings of 277,979 lbs



(190.5%). This outcome required application of an accountability measure reducing the length of the harvest season by 102 days. Much of this overage was attributed to the entry into the fishery of a new cohort of fishers with a one-year ‘beginners’ commercial fishing permit. Needless to say, this influx of temporary fishers and the repercussions of the resultant ACL overage brought considerable hardship to those long-term commercial fishers dependent on this resource for income.

The SU2 event of 2012 brought to light issues with data reporting, overcapacity of the fishery, lack of control on participation, and a general need to better manage the SU2 commercial and recreational sectors in Commonwealth and federal waters surrounding Puerto Rico. Had the requirement for a federal permit to participate in the SU2 commercial fishery been in place, much of this impact could have been avoided. The SU2 fishery, particularly that component of the fishery executed along the west coast of Puerto Rico, historically involves a small number of dedicated fishers. The fishery characteristically targets patchy, deep-water habitats. As a result, long-term participation and consistent success within the context of changing environmental conditions results in only a small number of commercial fishers maintaining consistent success in the fishery. Those fishers, clearly identifiable from Puerto Rico licensing and landings data, constitute a potentially ideal target audience for a pilot study (and, ultimately, for a sector-specific permit program). If the Council chose to move ahead with a pilot permit program, the commercial SU2 fishery of Puerto Rico could be an ideal starting point.

A similar situation exists in the USVI. There, commercial fish trap fishers have recently implemented on their own initiative a management program that reduces the number of traps in the fishery and controls entry into the fishery. Those outcomes render the St. Thomas/St. John or St. Croix fish trap sectors good candidates for testing a pilot permit program in the USVI. Similar to Puerto Rico’s commercial SU2 fishery, the St. Thomas/St. John and St. Croix fish trap fisheries are composed of a small group of dedicated, professional fishers generally supportive of sustainable management of their fishery. In contrast to the Puerto Rico commercial SU2 pilot program, which involves a particular fishery management unit, the USVI pilot program would involve a particular gear sector. This would provide an important opportunity to compare the needs, problems, and solutions associated with those different approaches, producing information necessary to developing a more broad-based permit system.

If the Council chooses to implement a limited access permit anywhere in the U.S. Caribbean, at a pilot or system scale, a control date with which to identify valid participants in the permit program has already been established. At their March 2009 meeting, the Council voted to establish a control date of March 24, 2009, for the commercial sector of the reef fish, queen conch, and spiny lobster fisheries operating in federal waters off Puerto Rico and the USVI. On July 8, 2009, NMFS published an Advanced Notice of Proposed Rulemaking (ANPR) in the *Federal Register* (74 FR 32528). The Council followed at their August 2012 meeting by voting to update the control date for the commercial trap sectors of the reef fish and spiny lobster fisheries operating in federal waters off Puerto Rico and the USVI. On April 5, 2013, NMFS published an ANPR in the *Federal Register* (78 FR 20496) announcing the control date of February 10, 2011. These ANPRs informed fishers that anyone entering these fisheries after the control date will not be assured of future access should a management regime, such as a permit program that



limits the number of participants in any of these fisheries, be prepared and implemented. The Council may choose to use a different control date, or to give variably weighted consideration to fishers active in the fishery before and after the control date. Other qualifying criteria, such as documentation of landings and sales or possession of a valid Territorial/Commonwealth Permit, may be considered for entry into the fishery. The Council may also choose to take no further action to control entry or access to any of these fisheries, in which case the control date may be rescinded.

Summary

Developing tools and increasing efforts towards enhanced fishery management in the U.S. Caribbean are important for both the marine resources as well as the fishing communities. In order to provide better information for management, fishery managers must have a better understanding of the population of fishers and their harvest patterns in the EEZ. A federal permit system may be the tool to best obtain this information. This white paper provides an overview of the permit process as well as suggestions as to how a permit system for federal waters of the U.S. Caribbean might be developed within the context of existing Puerto Rico and USVI permit programs. Information is then provided regarding potential pilot programs that could be developed to test and refine permit program structure and application, using the Snapper Unit 2 fishery off the west coast of Puerto Rico and the St. Thomas, USVI, fish trap fishery as examples.



References

- Caribbean Fishery Management Council (CFMC). 2011. Amendment 2 to the fishery management plan for queen conch resources of Puerto Rico and the U.S. Virgin Islands and Amendment 5 to the fishery management plan for reef fish fishery of Puerto Rico and the U.S. Virgin Islands. Caribbean Fishery Management Council, San Juan, Puerto Rico. 647 pp. including appendices
- Caribbean Fishery Management Council (CFMC). 2005. Comprehensive amendment to the fishery management plans (FMPs) of the U.S. Caribbean to address required provisions of the Magnuson-Stevens Fishery Conservation and Management Act: Amendment 2 to the FMP for the spiny lobster fishery of Puerto Rico and the U.S. Virgin Islands; Amendment 1 to the FMP for queen conch resources of Puerto Rico and the U.S. Virgin Islands; Amendment 3 to the FMP for the reef fish fishery of Puerto Rico and the U.S. Virgin Islands; Amendment 2 to the FMP for the corals and reef associated invertebrates of Puerto Rico and the U.S. Virgin Islands. Caribbean Fishery Management Council, San Juan, Puerto Rico. 533 pp. + Appendices.
- Eastern Caribbean Center. 2002. Telephone survey of boat-based marine recreational fishing in the U.S. Virgin Islands, 2000. Report submitted to Division of Fish and Wildlife, Department of Planning and Natural Resources, Eastern Caribbean Center, University of the Virgin Islands, St. Thomas, USVI. 56pp
- Griffith, D., M. Valdés Pizzini and C. García Quijano. 2007. Entangled Communities: Socioeconomic Profiles of Fishers, their Communities, and their Responses to Marine Protective Measures in Puerto Rico (Volume 1: Overview). NOAA Series on U.S. Caribbean Fishing Communities. NOAA Technical Memorandum NMFS-SEFSC-556. Agar, J.J. and B. Stoffle (eds).
- Holt, M. and K.R. Uwate. 2004. Estimates of the number of licensed commercial fishers per year in the U.S. Virgin Islands, 1974/75 to 2003/2004. Bureau of Fisheries, Division of Fish and Wildlife, Department of Planning and Natural Resources, U.S. Virgin Islands. Obtained online at: <http://bcrc.bio.umass.edu/vifishandwildlife/Fisheries/FisheriesReports/2004/CommFisherLicenseQty1974to2003.pdf>
- Kojis, B.L. and N.J. Quinn. 2011. Census of the Marine Commercial Fishers of the U.S. Virgin Islands. Department of Planning and Natural Resources, Division of Fish and Wildlife, US Virgin Islands. 126 pp.
- Matos-Caraballo, D. 1997. Puerto Rico Fishery Census, 1995-96 Saltonstall-Kennedy Project. DNER. Final Report to NMFS/NOAA. 21 pp.



Matos-Caraballo, D. and J. Agar. 2008. Census of Active Commercial Fishermen in Puerto Rico, 2008. Department of Natural and Environmental Resources Final Report to National Marine Fisheries Service, NOAA. 39 pp.

U.S. Department of Commerce. National Oceanic and Atmospheric Administration. NOAA Fisheries Glossary- Revised Edition. 2006. Information obtained online at http://www.st.nmfs.gov/st4/documents/F_Glossary.pdf

Puerto Rico Department of Natural Resources (PRDNR) Fisheries Regulations, 2010

DRAFT



Appendix A: SERO Permit Application

U.S. Department of Commerce, NOAA
NMFS PERMITS OFFICE, F/SER14
263 13th Avenue South
St. Petersburg, FL 33701
Toll Free 877-376-4877 (8:00 a.m. - 4:30 p.m. ET)
727-824-5326 (8:00 a.m. - 4:30 p.m. ET)
permits.sero.nmfs.noaa.gov



FEDERAL PERMIT APPLICATION FOR VESSELS FISHING IN THE EXCLUSIVE ECONOMIC ZONE (EEZ)

OMB Control No. 0648-0205; Expiration date: 10/31/2014

FOR OFFICE USE ONLY

Reviewer's Initials and Date

Permit Check or Money Order
Number and Amount

Floy Tag Check or Money Order
Number and Amount

Sanctioned Case Number if
Sanctioned

Non Compliance Hold Date

Non Compliance Cleared Date

Expiration Date(s)

FOR OFFICE USE ONLY
Application ID

REMEMBER TO SEND A COPY of the current (not expired) United States Coast Guard (USCG) Certificate of Documentation or a copy of the State Vessel Registration. Do not send the original. If the vessel's state registration does not list all owners, also provide a copy of the vessel's title, or other documentation from the appropriate state agency, that identifies all vessel owners.

SECTION 1 - VESSEL INFORMATION

Official Number From USCG Certificate Of
Documentation (If the vessel is documented)

Year Built

Length (ft)

Total Horsepower

State Registration Number (as applicable)

Crew Size—Including the Captain,
but not including passengers.

Vessel Name

HOLD or FISH BOX CAPACITY
How many pounds of product can you bring
to the dock when full?

Hull Identification or IMO Number

Hull Material

Fuel Data

Product Storage
(check all that
apply)

Hailing Port City

FIBERGLASS

DIESEL

☐ ON ICE IN
HOLD, FISH
BOX, ICE
CHEST,
COOLER,
ETC

Hailing Port County Or Parish

Hailing Port State

STEEL

GASOLINE

☐ FREEZER

WOOD

OTHER
(DESCRIBE)

☐ LIVE WELL

CEMENT

OTHER
(DESCRIBE)

Fuel Capacity -
Total Gallons

USCG DOCUMENTED VESSELS ONLY

Gross Tons

Net Tons

Passenger Capacity Data For Charter
Vessels/Headboats Only

☐ UNINSPECTED VESSEL - "6-PACK"

☐ USCG INSPECTED VESSEL: Specify
Passenger Capacity as listed on the USCG
Certificate of Inspection, not including Capt.
and Crew.

This vessel is
used MOSTLY for
(select only one)

☐ Commercial
Fishing

☐ Charter

☐ Headboat

For Shark and Swordfish Directed and
Incidental Permit Applicants Only: Does your
vessel fish with, or carry onboard, either

☐ Yes

☐ No

Reminder: If yes, include a copy of your
"Protected Species Release,
Disentanglement, and Identification
Workshop Certificate".



SECTION 2 - OPEN ACCESS PERMITS AND ENDORSEMENTS

Payment Reminder: All applications must include payment of a non-refundable application fee in the form of a check or money order made payable to the *U.S. Treasury*. The fee is \$25.00 for the first permit and \$10.00 for each additional permit or endorsement requested on this application.

FEE SCHEDULE FOR PERMITS AND ENDORSEMENTS:

1 Permit: \$25 2: \$35 3: \$45 4: \$55 5: \$65 6: \$75 7: \$85 8: \$95 9: \$105 10: \$115 11: \$125 12: \$135

INSTRUCTIONS: Find the permits in the left column and mark the check box beside that fishery to indicate what transaction(s) you want.

OPEN ACCESS COMMERCIAL PERMITS

	NEW		RENEW	
ATLANTIC DOLPHIN/WAHOO (ADW)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPINY LOBSTER (LC) (Not required for the EEZ off Florida)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPINY LOBSTER TAILING (LT) You must have an LC permit OR provide your FL SPL information below.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SPANISH MACKEREL (SM)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ROCK SHRIMP - CAROLINAS ZONE (RSCZ)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOUTH ATLANTIC PENAEID SHRIMP (SPA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GULF ROYAL RED SHRIMP ENDORSEMENT (GRRS) You must have a valid Gulf of Mexico Shrimp permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HMS COMMERCIAL CARIBBEAN SMALL BOAT PERMIT (CCSB)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FOR LOBSTER TAILING PERMIT APPLICANTS ONLY

LOBSTER TAILING APPLICANTS: To obtain a lobster tailing permit you must possess a Florida Saltwater Products License (SPL) with Restricted Species and Crawfish endorsements. If you do not have a Florida SPL with Restricted Species and Crawfish Endorsements, you must possess or simultaneously obtain a valid Federal Spiny Lobster (LC) permit.

You must provide a copy of your Florida SPL if you do not have a Federal Spiny Lobster (LC) permit

Saltwater Products License Number

Crawfish Endorsement Number

Saltwater Products License
Expiration Date

OPEN ACCESS CHARTER/HEADBOAT PERMITS

	NEW		RENEW	
ATLANTIC CHARTER/HEADBOAT FOR DOLPHIN/WAHOO (CDW)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ATLANTIC CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGICS (CHS)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOUTH ATLANTIC CHARTER/HEADBOAT FOR SNAPPER-GROUPER (SC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



SECTION 3 - LIMITED ACCESS/MORATORIUM PERMITS AND ENDORSEMENTS

Payment Reminder: All applications must include payment of a non-refundable application fee in the form of a check or money order made payable to the *U.S. Treasury*. Please refer to the fee schedule in section 2 of the application.

INSTRUCTIONS: Find the permits in the left column and mark the check box beside that fishery to indicate what transaction(s) you want.

LIMITED ACCESS COMMERCIAL PERMITS

	PERMIT NUMBER	TRANSFER	RENEW
KING MACKEREL (KM)			
GILLNET FOR KING MACKEREL (GN)			
GULF OF MEXICO SHRIMP (SPGM)			
GULF OF MEXICO COMMERCIAL REEF FISH (RR)			
EASTERN GULF OF MEXICO REEF FISH BOTTOM LONG LINE ENDORSEMENT (RRLE)			
ROCK SHRIMP (SOUTH ATLANTIC EEZ) (RSLA)			
SOUTH ATLANTIC GOLDEN CRAB (GC)			
SOUTH ATLANTIC UNLIMITED SNAPPER-GROUPER (EXCLUDING WRECKFISH) (SG1)			
SOUTH ATLANTIC 225 LB TRIP LIMIT SNAPPER-GROUPER (EXCLUDING WRECKFISH) (SG2)			
SOUTH ATLANTIC SEA BASS POT ENDORSEMENT (SBPE)			
SOUTH ATLANTIC GOLDEN TILEFISH ENDORSEMENT (GTFE)			
SWORDFISH DIRECTED (SFD)			
SWORDFISH HANDGEAR (SFH)			
SWORDFISH INCIDENTAL (SFI)			
SHARK DIRECTED (SKD)			
SHARK INCIDENTAL (SKI)			
ATLANTIC TUNA LONGLINE (ATL) Must have either SFI or SKI and either SFD or SKD			

LIMITED ACCESS CHARTER/HEADBOAT PERMITS

	PERMIT NUMBER	TRANSFER	RENEW
GULF CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGIC FISH (CHG)			
GULF CHARTER/HEADBOAT FOR REEF FISH (RCG)			
HISTORICAL CAPTAIN GULF CHARTER/HEADBOAT FOR COASTAL MIGRATORY PELAGIC FISH (HCGG)			
HISTORICAL CAPTAIN GULF CHARTER/HEADBOAT FOR REEF FISH (HRCG)			

SECTION 4 - INDIVIDUAL VESSEL OWNER(S) AND LESSEE INFORMATION

Answer all of the following questions to see how to fill out this section. Copy this page as needed to provide the required information on all persons that own or lease the vessel.

Does your USCG Documentation or State Registration show the vessel owner as a person or persons?	YES - Use this page for the vessel owners	NO - Fill out vessel owner info in Section 5
Does your USCG Documentation or State Registration show more than one person as the vessel owner?	YES - Use Section 4b for the vessel owners	NO - Fill out Section 4b if vessel is leased
Is a person or persons leasing this vessel from the vessel owner?	YES - Use Section 4b for the lessee	NO - The lessee is a business Put lessee info in Section 5b
		NO - Skip Section 4b

SECTION 4a - Vessel Owner on the USCG Certificate of Documentation or State Registration for Undocumented Vessels

- 1) If the USCG Documentation or State Registration shows one person as sole vessel owner - list their information here.
- 2) If the USCG Documentation or State Registration shows more than one person as vessel owner - list their information in Section 4b.
- 3) If there are more than two persons, photocopy this blank page as necessary to provide information for all the owners.

☐ MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 4a

Is this person a United States Citizen or permanent resident alien? ☐ YES ☐ NO

Mr/Mrs/Ms	Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.

Tax Identification Number (SSN)	Date of Birth (MM/DD/YYYY)	Area Code	Phone Number

Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country

SECTION 4b - Vessel Lessee OR Vessel Owner on the USCG Certificate of Documentation or State Registration

- 1) If the USCG Documentation or State Registration shows more than one person as sole vessel owner - list their information here.
- 2) If this vessel is leased by a person(s), list the lessee's information here.
- 3) If there are more than two people, photocopy this blank page as necessary to provide information for all the owners and lessee's.

Lease start date: Lease end date:

☐ MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 4b

Is this person a United States Citizen or permanent resident alien? ☐ YES ☐ NO

Mr/Mrs/Ms	Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.

Tax Identification Number (SSN)	Date of Birth (MM/DD/YYYY)	Area Code	Phone Number

Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country

**SECTION 5 - BUSINESS VESSEL OWNER(S) AND LESSEE INFORMATION**

Answer all of the following questions to see how to fill out this section. Copy this page as needed to provide the required information on all persons that own or lease the vessel.

Does your USCG Documentation or State Registration show the vessel owner as a business?	YES - Use this page for the vessel owners	NO - Fill out previous page for vessel owners	
Does your USCG Documentation or State Registration show more than one business as the vessel owner?	YES - Use Section 5b for the vessel owners	NO - Fill out Section 5b if vessel is leased	
Is a business or businesses leasing this vessel from the vessel owner?	YES - Use Section 5b for the lessee	NO - The lessee is a person Put lessee info in Section 4b	NO - Skip Section 5b

SECTION 5a - Vessel Owner on the USCG Certificate of Documentation or State Registration for Undocumented Vessels

- 1) If the USCG Documentation or State Registration shows one business as sole vessel owner - list their information in Section 5a.
- 2) If the USCG Documentation or State Registration shows multiple businesses as vessel owner - list their information in Section 5b.
- 3) If there are more than two businesses, photocopy this blank page as necessary to provide information for all the owners.

☐ MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 5a

Is this business entity established under the laws of the United States or any State of the United States? ☐ YES ☐ NO

Registered Name of Business

Tax Identification Number (FEIN)	Date Business Formed (MM/DD/YYYY)	Area Code	Phone Number			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>			
Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 5b - Vessel Lessee OR Vessel Owner on the USCG Certificate of Documentation or State Registration

- 1) If the USCG Documentation or State Registration shows more than one business as sole vessel owner - list their information here.
- 2) If this vessel is leased by a business(es), list the lessee's information here.
- 3) If there are more than two businesses, photocopy this blank page as necessary to provide information for all owners and lessee's.

Lease start date: Lease end date:

☐ MAILING RECIPIENT - All mail about this permit will go to the person listed in Section 5b

Is this business entity established under the laws of the United States or any State of the United States? ☐ YES ☐ NO

Registered Name of Business

Tax Identification Number (FEIN)	Date Business Formed (MM/DD/YYYY)	Area Code	Phone Number			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>			
Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION 6 - OFFICER/SHAREHOLDER INFORMATION FOR BUSINESS(ES) THAT OWN OR LEASE THE VESSEL**

This page must be filled out if the owner or the lessee of the vessel is a business. Copy this page as necessary to provide information on all persons that are officers/shareholders of the business(es) shown in Section 5.

Owner or lessee of the vessel: ☐ Owner ☐ Lessee

Business name Federal Tax ID Number

Position Held - Check ALL That Apply

☐ President/CEO ☐ Vice President ☐ Secretary ☐ Treasurer ☐ Director/ Manager ☐ Shareholder ☐ Other

Percent of Corporation Held Is this business entity a United States citizen or permanent resident alien? ☐ YES ☐ NO

Mr/Mrs/Ms Last Name First Name Middle Name Suffix - Jr, Sr, etc.

Tax Identification Number (SSN) Date of Birth (MM/DD/YYYY) Area Code Phone Number

Mailing Address Apt # City State County/Parish Zip Code Country

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable) Apt # City State County/Parish Zip Code Country

Position Held - Check ALL That Apply

☐ President/CEO ☐ Vice President ☐ Secretary ☐ Treasurer ☐ Director/ Manager ☐ Shareholder ☐ Other

Percent of Corporation Held Is this business entity a United States citizen or permanent resident alien? ☐ YES ☐ NO

Mr/Mrs/Ms Last Name First Name Middle Name Suffix - Jr, Sr, etc.

Tax Identification Number (SSN) Date of Birth (MM/DD/YYYY) Area Code Phone Number

Mailing Address Apt # City State County/Parish Zip Code Country

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable) Apt # City State County/Parish Zip Code Country

Minor Shareholder Information

☐ MINOR SHAREHOLDERS - Check here if one or more shareholders individually holds shares that is less than 1% of the total business shares.

TOTAL PERCENTAGE of the business shares held by minor shareholder(s)

**SECTION 7 - HISTORICAL CAPTAIN OR DESIGNATED OPERATOR (INCOME QUALIFIER)**

This person is a (check all that apply):

- ☐ Historical Captain for Gulf of Mexico Charter/Headboat for Reef fish
☐ Historical Captain for Gulf of Mexico Charter/Headboat for Coastal Migratory Pelagic Fish
☐ Designated Operator (Income Qualifier other than the Permit Holder) for:

Check all that apply: ☐ Commercial King Mackerel ☐ Commercial Spiny Lobster ☐ Spanish Mackerel*A Historical Captain MUST sign Section 9 as the applicant.**A Designated Operator MUST sign Section 9 as the operator along with the applicant.*

Mr/Mrs/Ms	Last Name	First Name	Middle Name	Suffix - Jr, Sr, etc.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Tax Identification Number (SSN)	Date of Birth (MM/DD/YYYY)	Area Code	Phone Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Mailing Address	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ Check box if the street address is the same as the mailing address.

Street Address (PO Box not acceptable)	Apt #	City	State	County/Parish	Zip Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 8 - SEA BASS POTS OR GOLDEN CRAB TRAPS**COMPLETE THIS SECTION ONLY IF YOU HAVE SEA BASS POTS OR IF YOU HAVE GOLDEN CRAB TRAPS. TAGS ARE REQUIRED FOR ALL POTS/TRAPS**

Tag cost is \$1.80 per tag made payable by check or money order to Floy Tag, Inc.

I need tags for: ☐ Sea Bass Pots ☐ Golden Crab Traps

What color are your Buoys for Sea Bass Pots or Golden Crab Traps?

List an existing buoy color code for ANY other trap or pot fishery?

South Atlantic Sea Bass Pot/Golden Crab Trap Information - You are allowed a MAXIMUM of 35 Sea Bass Pots

Number of Pots/Traps	Pot or Trap Height (inches)	Pot or Trap Length (inches)	Pot or Trap Width (inches)	Mesh Size Height (inches)	Mesh Size Width (inches)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION 9 - SIGNATURE FOR APPLICATION - REQUIRED**

The undersigned certifies under penalty of perjury that the foregoing information is true and correct (28 USC 1746; 18 USC 1621; 18 USC 1001, 16 USC 1857). Further, the undersigned certifies that if a spiny lobster tailing permit is requested, the applicant routinely fishes commercially in Federal waters on trips of up to 48 hours or more and that such fishing activity requires the separation of the tail and carapace to maintain quality product.

Please note: If the vessel listed in Section 1 is leased, the applicant who signs below must be an individual named as a lessee in Section 4, or an officer or shareholder of the lessee as listed in Section 5 with information listed in section 6. If the vessel listed in Section 1 is not leased, the applicant must be an individual named as an owner in Section 4, or an officer or shareholder of the owner as listed in Section 6.

Applicant Signature	<input type="text"/>	Position in Business	<input type="text"/>	Date	<input type="text"/>
Print Name	<input type="text"/>	Designated Operator Signature	<input type="text"/>	Date	<input type="text"/>

SECTION 10 - INCOME QUALIFICATION AFFIDAVIT FOR INCOME QUALIFIED PERMITS

An Income Qualification Affidavit is accepted as proof of meeting permit income qualification requirements. This signed Income Qualification Affidavit is required with every application to renew or transfer an income qualified permit (as listed below).

Knowingly supplying false information or willfully overvaluing any fishing income for the purpose of obtaining a permit is a violation of Federal law punishable by a fine and/or imprisonment.

Spiny Lobster

50CFR622.400 An applicant must provide the following information: (vi) A sworn statement by the applicant for a vessel permit certifying that at least 10 percent of his or her earned income was derived from commercial fishing, that is, sale of the catch, during the calendar year preceding the application.

King Mackerel

50CFR622.370 To obtain or renew a commercial vessel permit for king mackerel, at least 25 percent of the applicant's earned income, or at least \$10,000, must have been derived from commercial fishing (i.e., harvest and first sale of fish) or from charter fishing during one of the 3 calendar years preceding the application.

Spanish Mackerel

50CFR622.370 To obtain or renew a commercial vessel permit for Spanish mackerel, at least 25 percent of the applicant's earned income, or at least \$10,000, must have been derived from commercial fishing (i.e., harvest and first sale of fish) or from charter fishing during one of the 3 calendar years preceding the application.

The following information applies to my income qualification for the following fisheries:

Check all that apply: ☐ Spiny Lobster ☐ King Mackerel ☐ Spanish Mackerel

I, _____, hereby declare under penalty of perjury that the foregoing information is true and correct (28 USC 1746; 18 USC 1621; 18 USC 1001; 16 USC 1857). I agree to provide the necessary documentation to prove that I met the earned income requirement when so requested by the National Marine Fisheries Service.

Executed on _____ (date signed).

Printed Name _____ Signature _____

Business Name (if Applicable) _____

Type of business (if Applicable) _____

Position In Business (if Applicable) _____

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to: PRA Officer, National Marine Fisheries Service, F/SER26, 263 13th Avenue South, St. Petersburg, FL 33701.

The National Marine Fisheries Service requires this information for the conservation and management of marine fishery resources. The data reported will be used to develop, implement, and monitor fishery management activities for a variety of other uses. Responses to this collection are required to obtain or retain a fisheries permit under the Magnuson - Stevens Act. Name and address information will be released via a NOAA website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 218-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.



Instructions for the Federal Permit Application for Vessels Fishing in the Exclusive Economic Zone (EEZ)

Rev 04/30/2014

General Instructions:

In addition to the instructions provided herein, applicants with specific questions are encouraged to contact the Permits Office at (727) 824-5326 or toll free at (877) 376-4877 between 8:00 a.m. and 4:30 p.m. ET. Applicants are encouraged to visit the SERO Permits website at permits.sero.nmfs.noaa.gov.

Please consult the U.S. Code of Federal Regulations whose guidance for application requirements, permit eligibilities, and related information will always prevail. Incomplete or illegible applications will be returned.

1. Complete all applicable sections of this application form. All application fields should be typed or printed in ink.
2. The application fee is \$25 for one fishery and \$10 for each additional fishery and is non-refundable. NMFS will not refund money for denied permits. A check or money order payable to the U.S. TREASURY must accompany each application.
3. Mail the complete application, payment, and all required supporting documentation to: National Marine Fisheries Service (F/SER14), 263 13th Avenue South, St. Petersburg, FL 33701. If you want your permit and associated documents returned overnight, enclose a completed, pre-paid air bill and envelope. Include your physical street delivery address (non US Post Office services do not deliver to PO Boxes), telephone number, and account number or major credit card number with the expiration date. Please note using the prepaid overnight delivery option does not expedite permit processing; it only expedites delivery of your completed permit package.
4. NMFS will not process requests to renew or transfer permits until applicants meet all reporting requirements (e.g., logbooks, the MRIP For-Hire telephone survey, etc.) Noncompliance with any reporting requirement will halt processing of all permit transaction requests. Ensure you comply with all reporting requirements in advance of any permit application requests to avoid delays. Send your logbook report(s) to National Marine Fisheries Service, Research Management Division, Logbook Program, P.O. Box 491500, Key Biscayne, FL 33149-9915. Please direct questions concerning reporting requirements to the Southeast Research Management Division at (305) 361-4581.

Federal regulations require a permit holder to report any permit information change to NMFS, in writing, within 30 days.

APPLICATION SECTION 1 concerns the the vessel permits will be issued to.

Complete all portions of Section 1. Enter the Official Number and the length of the vessel as they appear on the U.S. Coast Guard Certificate of Documentation. Use the State Registration certificate for an vessel without U.S. Coast Guard documentation. If applying for a Highly Migratory Species commercial swordfish or shark permit issued without a vessel, write "NO VESSEL" in the field for USCG Official Number.

APPLICATION SECTIONS 2 AND 3 are the permits being requested.

Indicate the fishery and transaction type for each permit requested in this application

APPLICATION SECTION 4 applies to people who directly own or lease the vessel.

Fill out Section 4a only if the owner(s) listed on the vessel's U.S. Coast Guard Certificate of documentation or State Registration is a person or persons, not a business. Provide information for all owners listed on the vessel's U.S. Coast Guard Certificate of Documentation or State Registration. Photocopy the blank page as necessary to provide information about all people who own the vessel.

Fill out Section 4b only if the vessel is leased to a person or persons, not a business. Photocopy the blank page as necessary to provide information about all people who lease the vessel.

APPLICATION SECTION 5 applies to businesses that directly own or lease the vessel.

Fill out Section 5a only if the owner listed on the U.S. Coast Guard Certificate of documentation or the State Registration is a business, not a person. Provide information for all owners listed on the vessel's USCG Documentation or State Registration. Photocopy the blank page as necessary to provide information about all vessel owners.

Fill out Section 5b only if the vessel is leased to a business, not a person. Photocopy the blank page as necessary to provide information about all people who lease the vessel.

NMFS will not issue the permits if the business is in an INACTIVE status with the applicable Secretary of State.

APPLICATION SECTION 6 applies to the officers or shareholders of businesses that own or lease the vessel.

NMFS requires information on all owner's officers/ shareholders if the application is for a vessel owned or leased by a business entity. Please photocopy the blank form as necessary to provide information on all officers/shareholders associated with vessel owners and lessees.

If the business holds IFQ shares, indicate what percentage of the business each person listed owns. The total percentages reported must equal 100%.

APPLICATION SECTION 7 Designated Operators for income qualified permits and Gulf Charter Historical Captain endorsements.

This section will remain blank for most applications. Complete this section only for applications that include:

- Gulf of Mexico Charter/Headboat permits with a *Historical Captain endorsement*, or
- King Mackerel, Spanish Mackerel, and/or Commercial Spiny Lobster permit that has been income qualified using the fishing income of a Designated Operator. A Designated Operator is a vessel operator who is neither a vessel owner nor lessee listed in Section 4 or 5 or an officer of a business that owns or leases the vessel, listed in Section 6.

APPLICATION SECTION 8 applies to Sea Bass pots and tags and Golden Crab traps and tags.

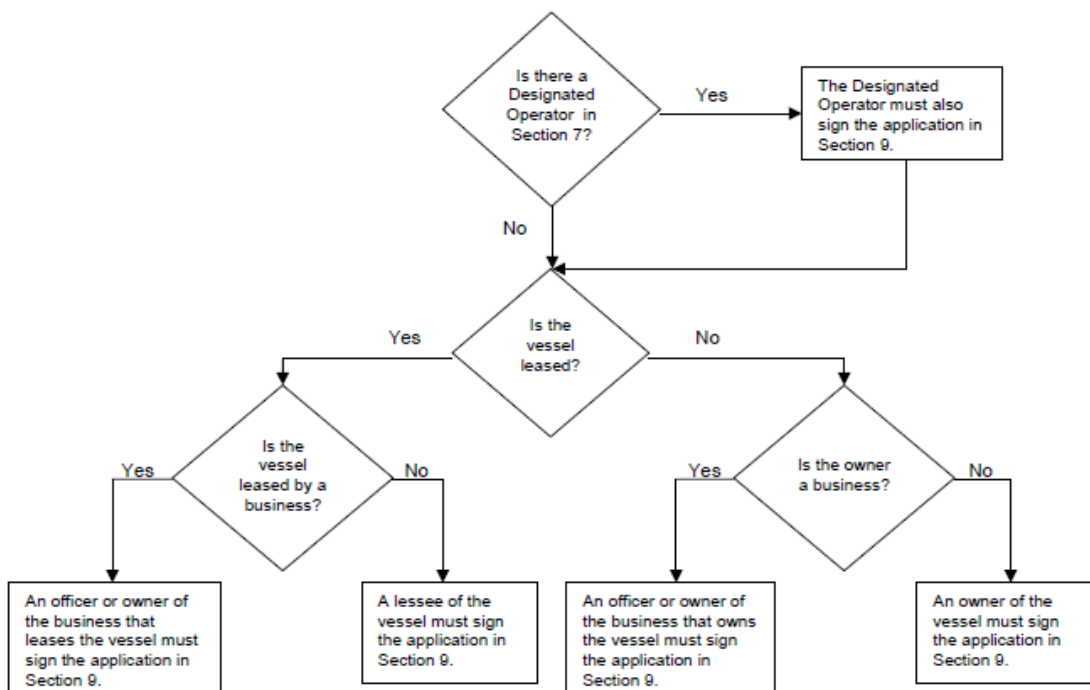
Complete this section only if you fish with pots in the snapper-grouper fishery or traps in the golden crab fishery off the southern Atlantic states. The applicant must provide a separate check or money order for pot or trap tags (\$1.80 per tag) payable to FLOY TAG INC.

The Sea Bass pot fishery requires tags be ordered through NMFS. Trap Tags for the golden crab fishery do not need to be ordered through NMFS. Floy Tag Inc. will ship all Floy Tag orders to you directly; NMFS will not send tags with the permit package.

APPLICATION SECTION 9 is the application signature

The signatory in Section 9 should be:

1. An owner of the vessel if the vessel is not owned by a business and is not leased *OR*
2. An officer or representative of the business that owns the vessel, if the vessel is not leased *OR*
3. An individual lessee of the vessel, if the vessel is leased by one or more individuals *OR*
4. An officer or representative of the business leasing the vessel, if the vessel is leased by a business *AND*
5. The Designated Operator in Section 7, if applicable. (This is not common.)





APPLICATION SECTION 10 is the Income Qualification Affidavit

NMFS accepts an Income Qualification Affidavit as proof of meeting permit income qualification requirements. Every application to renew or transfer a Spiny Lobster, King Mackerel, or Spanish Mackerel permit requires a signed Income Qualification Affidavit.

The affidavit is a signed promise, under penalty of perjury, that the applicant meets federal income qualification requirements for income-qualified permit(s). The applicant also promises to provide such income documentation if NMFS requests; and is not required to provide tax or income documents unless specifically requested.

RENEWAL AND INITIAL (NEW) ISSUANCE OF PERMITS

- All permit renewal and first issuance requests must include, as a minimum: 1) an application, 2) the appropriate fees, and 3) a copy of the unexpired U.S. Coast Guard Certificate of Documentation or State Registration Certificate. Please note - we cannot accept a bill of sale as documentation or registration.
- Include a copy of the current lease agreement if the vessel is leased, rented, or leased-to-own. The lease must identify both the entities leasing the vessel and the vessel owners as listed on the vessel's USCG Certificate of Documentation or, if not documented, the State Registration. The lease agreement must include a lease start date, and lease expiration date. The lease must run for a minimum of 7 months, and may extend for many years if the lessee and lessor anticipate a long-term arrangement. Both the vessel owner(s) and the lessee(s) must sign and date the lease agreement.
- To ensure your renewal goes quickly and smoothly, send your logbook report(s) to **National Marine Fisheries Service, Research Management Division, Logbook Program, P.O. Box 491500, Key Biscayne, FL 33149-9916**. Direct your questions concerning reporting requirements to the Southeast Research Management Division at (305) 361-4581. *We cannot renew your permit(s) until you meet all reporting requirements.*
- For Shark and Swordfish Directed and Incidental permit renewals, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Owner's Certificate issued to the vessel owner.

TRANSFERS

- Various restrictions apply to transfer of limited entry and moratorium permits and endorsements. Consult the applicable United States Code of Federal Regulations, which is available online at sero.nmfs.noaa.gov/sustainable_fisheries/policy_branch/
- Only the Limited Access/Moratorium permits and endorsements listed in Section 3 are transferable.
- All permit transfer requests must include, as a minimum: 1) an application, 2) the original permits with appropriate signatures on the back, 3) the appropriate fees, and 4) a copy of the receiving vessel's unexpired U.S. Coast Guard Certificate of Documentation or State Registration unless the permit office already has a copy of the vessel's valid documentation or registration on file. Please note - we cannot accept a bill of sale as documentation or registration.
- **SIGNATURES ON PERMITS:** provide the valid (not expired) **ORIGINAL** (not a copy) transferable permit(s) with notarized signatures on the reverse of the permit.
 - Persons listed as permit holders on the face of the permit must sign as sellers the back of the permit. If the permit holder is a business, an officer or shareholder of the business must sign as seller on the back of the permit. The correct format must include the signature, the person's position in the business and the company name. For example: John Doe, President, XYZ Fishing Inc.
 - A notary public must notarize the sellers' signature(s).
 - Print the name of the new permit holder, individual(s) or business, as the receiving vessel permit owner.
 - No signatures are required if transferring permits to a different vessel owned by the same entity (person or business), unless the permit is a Gulf of Mexico Charter/Headboat Permit (please read the back of this type of permit).
- A vessel owner with a moratorium Gulf of Mexico Coastal Migratory Pelagic Charter/Headboat and/or a Reef Fish Charter/Headboat permit(s) that transfers the permit(s) to another vessel owner or to another vessel, must remove the Federal Charter/Headboat decal from their vessel.
- Income qualification requirements apply to federal Spiny Lobster, King Mackerel, and Spanish Mackerel permits. See the applicable US Code of Federal Regulations online at http://sero.nmfs.noaa.gov/sustainable_fisheries/policy_branch/
- Include a copy of the current lease agreement if the vessel is leased, rented, or leased-to-own. The lease must identify both the entities leasing the vessel and the vessel owners as listed on the vessel's USCG Certificate of Documentation or, if not documented, the State Registration. The lease agreement must include a lease start date, and lease expiration date. The lease must run for a minimum of 7 months, and may extend for many years if the lessee and lessor anticipate a long-term arrangement. Both the vessel owner(s) and the lessee(s) must sign and date the lease agreement.



- For Shark and Swordfish Directed and Incidental permits, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Operator's Certificate issued to the vessel owner for initial issuance. For all subsequent renewals, please include a copy of a valid Protected Species Safe Handling, Release, and Identification Workshop Owner's Certificate.
- With the exception of Sea Bass Pot endorsements and Golden Tilefish endorsements, NMFS cannot transfer expired permits. An applicant may transfer a permit only when the seller(s) signature is notarized BEFORE the expiration date. Once signed, the buyer must submit an application to transfer the permit before the permit terminates, one year following the expiration date of the permit (or 6 months following the expiration date of a Golden Crab permit). An applicant may transfer a Sea Bass Pot endorsements and Golden Tilefish endorsements only when the seller(s) signature is notarized and submits an application BEFORE the termination date of the endorsements, which is one year after the expiration date of the endorsements.

FEES

Fees for permit or endorsement renewal, initial issuance, and transfers are \$25 for the first permit or endorsement and \$10 for each additional permit or endorsement. The flat rate fee for replacement of one or more permits issued to a single vessel is \$18.

1 = \$25 2 = \$35 3 = \$45 4 = \$55 5 = \$65 6 = \$75 7 = \$85 8 = \$95 9 = \$105 10 = \$115 11 = \$125 12 = \$125

EARNED INCOME OR GROSS SALES REQUIREMENTS FOR COMMERCIAL PERMITS

New owners of Limited Access/Moratorium permits must meet the earned income requirement not later than the first full calendar year after the issuance of the permit.

	KING & SPANISH MACKEREL	SPINY LOBSTER
Percentage of earned income	At least 25%	At least 10%
Gross sales alternative	More than \$10,000 in sales of fish	N/A
Source of earned income	Commercial, Charter, or Headboat	Sale of catch
Time frame for qualification	One of three years prior to application	Year prior to application

KNOWINGLY SUPPLYING FALSE INFORMATION OR WILLFULLY OVERVALUING ANY FISHING INCOME TO OBTAIN A PERMIT IS A VIOLATION OF FEDERAL LAW PUNISHABLE BY A FINE AND/OR IMPRISONMENT.

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to: PRA Officer, National Marine Fisheries Service, FISER26, 263 13th Avenue South, St. Petersburg, FL 33701.

The National Marine Fisheries Service requires this information for the conservation and management of marine fishery resources. The data reported will be used to develop, implement, and monitor fishery management activities for a variety of other uses. Responses to this collection are required to obtain or retain a fisheries permit under the Magnuson-Stevens Act. Non-confidential information may be released via a NOAA Fisheries website. Non-confidential information means: Name, Street Address, City, State, Zip Code, Effective Date of Permit, Permit Types, Vessel Name, Vessel Identification Number, and in the case of a "for hire" vessel the Passenger Capacity, or individual, corporate and lease holders of permits. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.